

State Highway System

- Interstate
- US Route
- State Route



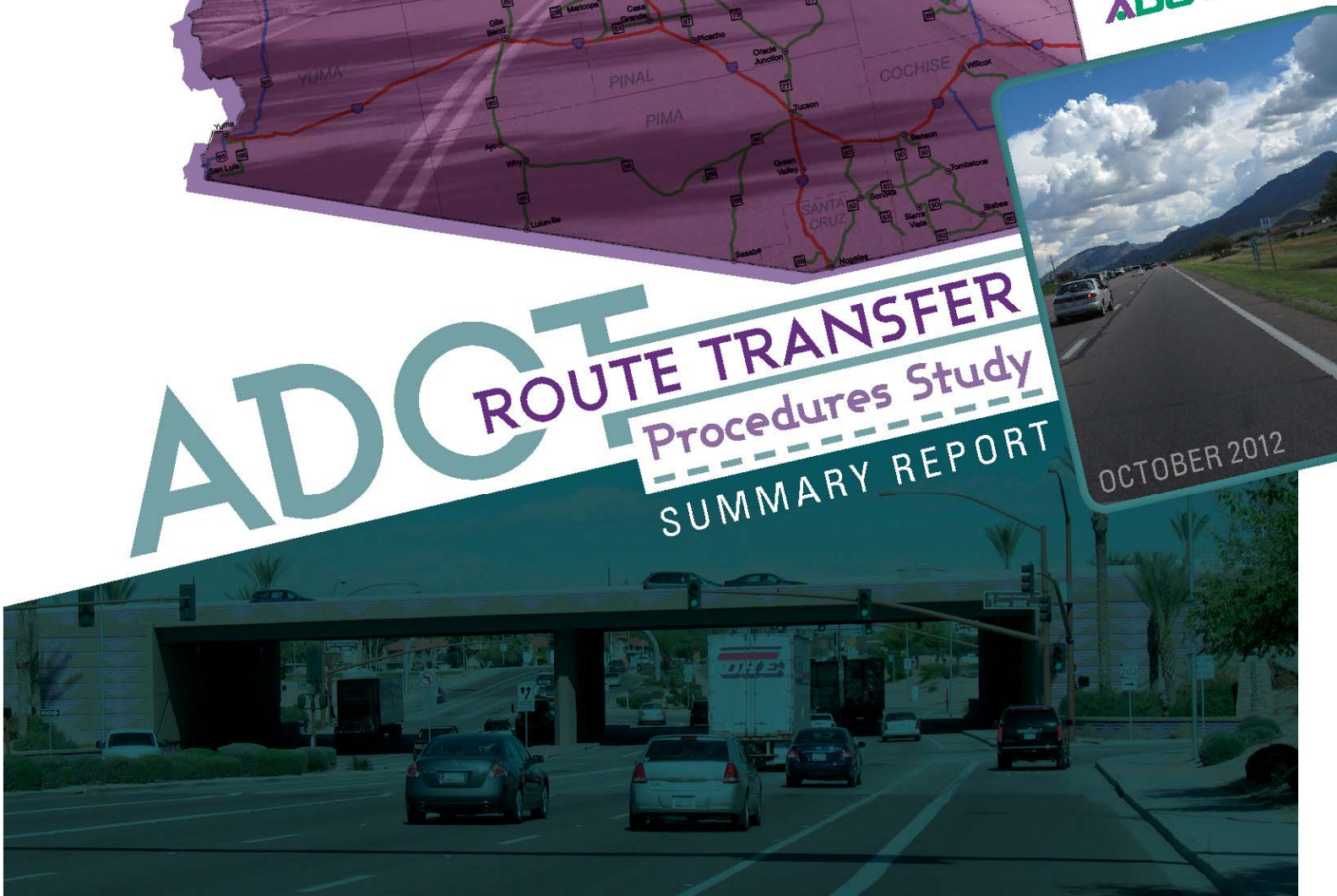
# ADOT

## ROUTE TRANSFER

### Procedures Study

#### SUMMARY REPORT

OCTOBER 2012





# ADOT Route Transfer Procedures Study Summary Report

ADOT MPD Task Assignment 15-11  
PG TD0624  
Contract # T08-49-U0001

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*Prepared for:*

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MULTIMODAL PLANNING DIVISION

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## 1. Introduction and Study Objectives

### 1.1 Introduction

The Arizona Department of Transportation (ADOT) is charged with designating, planning, designing, constructing, operating, and maintaining a network of roadways that serve statewide and regional travel. With the population growth that has taken place in Arizona, certain State highways that originally connected relatively distant urban centers are now serving more localized travel demands associated with adjacent land developments. To ensure that ADOT can sustain their primary mission of facilitating safe and efficient regional and statewide transportation connectivity, a cooperative process is needed to work with local and tribal government agencies to evaluate the historic, current, and future functions of certain State highways to determine which agency is best suited to provide long-term facility ownership and management.

The Route Transfer Procedures Study resulted in development of a *Route Transfer Handbook* that describes the processes and procedures associated with transfers of road jurisdiction, both to and from the State Highway System. The intended users of the Handbook are ADOT, local government agencies, tribal governments, Councils of Governments (COGs), Metropolitan Planning Organizations (MPOs), and other agencies that may be involved in the decision-making processes regarding jurisdictional responsibility for the State Highway System. The Handbook is intended to be a guidance document. There is significant flexibility in the route transfer process. The process outlined in this Handbook may be modified to match the needs of the route transfer proposal.

The *Route Transfer Handbook* is available under separate cover from this document.

### 1.2 Study Objectives

The objectives of the Route Transfer Procedures Study were to define a process for assessing the function of certain State highways relative to regional and statewide travel criteria and to formulate a rational and mutually agreeable transition strategy to transfer ownership responsibilities between government agencies. The study does not identify specific routes that may be candidates for transfer, but rather focuses on processes, procedures, and policies needed to form the framework for successful transfer agreements.

### 1.3 The State Highway System

Highways are critical to Arizona's economic vitality. There are 17,100 highway lane miles operated and maintained by ADOT<sup>1</sup>. The State Highway System is shown in **Figure 1**.

Major interstate highways in Arizona are the east-west highways of I-8, I-10, and I-40, and the north-south interstate highways of I-17, I-19, and I-15, which serves the far northwest corner of the State.

U.S. Routes (shown in blue on **Figure 1**) include the following routes: U.S. 60, 70, 89, 89A, 93, 95, 160, 163, 180, and 191. U.S. routes are part of an integrated system of highways within the United States, maintained by the State. The Interstate Highway System has largely replaced

<sup>1</sup> *What Moves You Arizona, Transportation in Arizona Executive Summary*



the U.S. Highways for through traffic, though many regional connections are still made by U.S. Highways.

State Routes are shown in green in **Figure 1**.

### 1.4 *Why Transfer Roads*

As the road system in Arizona grows and changes to meet land development demands and population growth, the functions of the roads adapt to the needs. Roads that serve primarily local trips may be more suitable to be transferred to the local road system. Conversely, local roads that primarily serve regional and statewide through trips or connect to state roadway facilities may be candidates for transfer to the State Highway System. In both cases, a transparent and cooperative process is needed to determine which agency is best suited to provide long-term ownership and management of the road.

#### 1.4.1 Transfers from the State Highway System to Local or Tribal Roads

The major reason for transferring a state highway to a local jurisdiction is that the road serves primarily local interests. Arizona State Transportation Board Policy 16 states<sup>2</sup>: “Routes primarily providing land access and local movement of people and goods should be the responsibility of local governments.”

There are a number of other reasons why ADOT might desire to transfer a state highway segment to a local or tribal government:

- The roadway carries vehicle trips that are mostly local in nature—for shopping, local business, and recreation
- The roadway function has changed and no longer provides higher-capacity continuity in the State Highway System
- A new state highway bypasses a city, and the route through the city is no longer needed as part of the State Highway System
- Highway realignment leaves a remnant portion of a state highway that is useful primarily for local access purposes
- Having only one government making access management, maintenance, and operations decisions on a roadway might result in greater efficiency, support economic vitality, and improve community responsiveness
- The local or tribal government wants to have improvements, permit accesses, or maintain the state route in a way that is different from ADOT
- The highway no longer provides interstate, intrastate, or regional system connectivity

A transfer to a local government may allow the local jurisdiction to maintain the road consistent with local objectives, and to use alternative funding options in order to do so; however, such a transfer may have financial implications on local and/or tribal government budgets (as applicable).

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<sup>2</sup> [http://www.azdot.gov/Board/PDF/Board\\_Policies\\_010411.pdf](http://www.azdot.gov/Board/PDF/Board_Policies_010411.pdf)



### 1.4.2 Transfers from the Local or Tribal Road System to the State Highway System

There are also reasons why a local or tribal road or highway should be added to the State Highway System:

- Long-range planning indicates that the road will serve a regional or statewide function
- The road may connect to a planned state route
- The local road currently serves a statewide or regional function. Examples include a major urban arterial that serves mainly through traffic, or a rural route that has statewide economic importance
- The road is a connector between two interstates or state highways, or between a state highway and an interstate route



**Figure 1 - State Highway System**





## 2 Study Process

Working Paper No. 1 – Work Plan provides an overview of the study process. The process included collaboration with a Project Management Team (PMT) and Technical Advisory Committee (TAC), one-on-one stakeholder interviews, and public education. Working Paper No. 1 is included in Appendix 2.

### 2.1 Technical Advisory Committee

The PMT consisted of ADOT management staff who provided project direction and input to the study. Meetings were held one to two weeks in advance of Technical Advisory Committee (TAC) meetings. The PMT representatives are listed in **Table 1**. Five TAC meetings were held on approximately a bi-monthly basis. TAC meeting agendas and summaries are included in Appendix 1.

**Table 1 - ADOT Project Management Team Members**

Organization	Name	Email
ADOT Multimodal Planning Division	Scott Omer	somer@azdot.gov
ADOT Multimodal Planning Division	Justin Feek	jfeek@azdot.gov
ADOT Traffic Operations	Mike Manthey	mmanthey@azdot.gov
Arizona State Engineer's Office	Floyd Roehrich	froehrich@azdot.gov
ADOT Intermodal Transportation Division Operations	Dallas Hammitt	dhammit@azdot.gov
Arizona Attorney General's Office	Joe Acosta	joe.acosta@azag.gov
ADOT Communication and Community Partnerships	Bill Pederson	bpederson@azdot.gov
ADOT Communication and Community Partnerships	Lars Jacoby	ljacoby@azdot.gov
ADOT Right-of-Way	Paula Gibson	pgibson@azdot.gov
Kimley-Horn and Associates	Bryan Patterson	bryan.patterson@kimley-horn.com
Kimley-Horn and Associates	Bob Mickelson	rmickelson37@q.com

In addition to the PMT, a broader-based TAC was established to include other key stakeholders, including selected representatives of COGs, MPOs, cities and towns, counties, and tribal communities. PMT members were also members of the TAC. Meetings were held via video conference to encourage broad participation and minimize travel costs. The TAC distribution list is provided in **Table 2**.



**Table 2 - Technical Advisory Committee**

Organization	Name	Email
ADOT Administration	John McGee	jmcgee@azdot.gov
ADOT Flagstaff District	Audra Merrick	amerrick@azdot.gov
ADOT Flagstaff District	John Harper	jharper@azdot.gov
ADOT Globe District	Matt Moul	mmoul@azdot.gov
ADOT Globe District	Rod Lane	rlane@azdot.gov
ADOT Holbrook District	Lynn Johnson	lynnjohnson@azdot.gov
ADOT Kingman District	Kenneth Paetz	kpaetz@azdot.gov
ADOT Kingman District	Michael Kondelis	mkondelis@azdot.gov
ADOT Prescott District	Greg Gentsch	ggentsch@azdot.gov
ADOT Prescott District	Randy Blake	rblake@azdot.gov
ADOT Public Involvement Director	Teresa Wellborn	twelborn@azdot.gov
ADOT Right of Way Group	Paula Gibson	pgibson@azdot.gov
ADOT Right of Way Group	Sabra Mousavi	smousavi@azdot.gov
ADOT Right of Way Group Operations Section	Patrick Stone	pstone@azdot.gov
ADOT Safford District	Arturo Baeza	abaeza@azdot.gov
ADOT Tucson District	Jerry James	jjames@azdot.gov
ADOT Tucson District	Todd Emery	temery@azdot.gov
ADOT Yuma District	Alvin Stump	astump@azdot.gov
ADOT Yuma District	Bruce Fenske	bfenske@azdot.gov
ADOT Yuma District	Michael Jones	mjones@azdot.gov
Central Arizona Governments (CAG)	Bill Leister	bleister@caagcentral.org
Central Yavapai Metropolitan Planning Organization (CYMPO)	Christopher Bridges	christopher.bridges@co.yavapai.az.us
Federal Highway Administration (FHWA)	Ed Stillings	ed.stillings@dot.gov
FHWA	Nate Banks	nathan.banks@dot.gov
Flagstaff Metropolitan Planning Organization (FMPO)	David Wessel	dwessel@flagstaffaz.gov
FMPO	Martin Ince	mince@flagstaffaz.gov
InterTribal Council of Arizona (ITCA)	Esther Corbett	esther.corbett@itcaonline.com
Maricopa Association of Governments (MAG)	Roger Herzog	rherzog@azmag.gov
MAG	Eric Anderson	eanderson@azmag.gov



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Organization	Name	Email
Navajo Nation Transportation	Paulson Chaco	pchaco@navajodot.org



**Table 2 - Technical Advisory Committee (continued)**

Organization	Name	Email
Northern Arizona Council of Governments (NACOG)	Chris Fetzer	cfetzer@nacog.org
PAG	Gary Hayes	ghayes@pagnet.org
PAG	John Liosatos	jliosatos@pagnet.org
PAG	Tim Thurein	tthurein@pagnet.org
Pima Association of Governments (PAG)	Cherie Campbell	ccampbell@pagnet.org
Southeastern Arizona Governments Association (SEAGO)	Luke Droeger	ldroeger@seago.org
Western Arizona Council of Governments	Sharon Mitchell	sharonm@wacog.com
Yavapai County	Chris Bridges	cbridges@pvaz.net
Yuma Metropolitan Planning Organization (YMPO)	Charles Gutierrez	cgutierrez@ympo.org
YMPO	Paul Patane	ppatane@ympo.org
YMPO	Charlene Fitzgerald	cfitzgerald@ympo.org

## **2.2 Public Involvement**

It was determined that public meetings were not appropriate for this project since it involves processes and administrative procedures that may not generate significant general public interest.

In lieu of public meetings, an educational PowerPoint presentation was developed that is available for use by ADOT staff. The presentation can be made to stakeholder groups that may have a specific interest in route transfer procedures. The PowerPoint presentation is discussed more in Chapter 5, and is included in Appendix 4.

It should be noted that the Route Transfer Handbook identifies a public involvement function may be conducted as part of the route transfer process.

## **2.3 Project Schedule**

The project was initiated in March 2011 and a draft Route Transfer Handbook was completed in December of 2011. Following release of the draft handbook, an educational PowerPoint presentation was developed for use in presenting the study process and recommendations to a variety of interested stakeholder groups. In June, 2012 the handbook was published in final form. Additional stakeholder presentations were performed through September 2012.

## **2.4 Study Tasks**

The Project Work Plan included seven tasks that encompass the Scope of Work.

- Task 1: Work Plan/Project Management
- Task 2: Stakeholder Interviews
- Task 3: Justification of Need and Negotiation Criteria Collection Working Paper





- Task 4: Prepare Initial Draft Report
- Task 5: Public Education Presentation
- Task 6: Prepare Final Route Transfer Report
- Task 7: Report Presentations (optional Task)

Details of each Task are included in Working Paper No. 1 – Work Plan, in Appendix 2.



### 3 Stakeholder Interviews

Stakeholders served as a critical element in the study process. The project team conducted stakeholder interviews with a representative cross-section of staff members from ADOT, FHWA, cities, towns, counties, MPOs, and COGs who have participated in prior route transfer negotiations or may have some involvement in future route transfer negotiations. Fifty-one stakeholders were identified for interviews. Stakeholder interviews were conducted in May, June, and July of 2011 with 31 of the 51 stakeholders contacted. Those interviewed represented ADOT (13), local governments (8), regional planning agencies (7), and other agencies (3). The names, titles, and organizations of survey respondents are summarized in **Table 3**.

**Table 3 - Stakeholder Contact List**

Survey Respondent	Title	Representing
<b>Cities/Towns/Counties</b>		
Pawan Agrawal	Public Works Director/City Engineer	Bullhead City
Dan Cook	Transportation Director	City of Chandler
Terry Johnson	Deputy Transportation Director	City of Glendale
Mark Clark	Public Works Director	Lake Havasu City
Jack Kramer	City Manager	City of Kingman
John Hauskins	Transportation Department Director	Maricopa County Department of Transportation (MCDOT)
David Moody	City Planning Director	City of Peoria
Grant Anderson	Town Engineer	Youngtown
<b>ADOT</b>		
John McGee	Executive Director for Planning and Policy	ADOT Administration
Floyd Roehrich	ADOT State Engineer	ADOT Administration
Lynn Johnson	District Engineer	ADOT Holbrook District
Walter Link	District Traffic Engineer	ADOT Flagstaff District
Chuck Gillick	Maintenance Engineer	ADOT Flagstaff District
John Harper	District Engineer	ADOT Flagstaff District
Audra Merrick	District Development Engineer	ADOT Flagstaff District
Mike Kondelis	District Engineer	ADOT Kingman District
Tim Wolfe	District Engineer	ADOT Phoenix Maintenance District
Paula Gibson	Chief Right-of-way Agent	ADOT Right of Way
Bill Harmon	District Engineer	ADOT Safford District
Mike Manthey	State Traffic Engineer	ADOT Traffic
Alvin Stump	District Engineer	ADOT Yuma District



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MPOs/COGs		
Bill Leister	Transportation Manager	CAG
Chris Bridges	CYMPO Administrator	CYMPO
Roger Herzog	Senior Project Manager	MAG
Cherie Campbell	Director of Planning	PAG
John Liosotos	Director of Transportation Planning	PAG
Randall Heiss	Executive Director	SEAGO
Sharon Mitchell	Transportation Planner	WACOG
Paul Patane	Senior Transportation Planner	YMPO
Other State and Federal Agencies		
Jennifer Dorsey	Lawyer	Arizona Attorney General's Office
Ruben Ojeda	Manager, Right-Of-Way	Arizona State Land Department
Nathan Banks	Senior Engineering Manager	FHWA

### 3.1 Stakeholder Interview Questions

Stakeholders were asked the following questions. A summary of responses is provided in Working Paper No. 2 in Appendix 2.

1. Have you been involved in any previous or ongoing route transfer discussions with ADOT? If so, how?
2. What is your understanding of State Statutes and ADOT's policies and administrative procedures regarding route transfer?
3. What do you consider to be the benefits, risks, or impediments to a route transfer?
4. If you were engaged OR will be engaged in a route transfer discussion with ADOT, what is your role (check all that are applicable)?
  - a. Negotiator
  - b. Decision maker
  - c. Advisor
  - d. Fact finder / data collector
  - e. Other
5. If you have been involved with a route transfer, on a scale of 1 to 5, with 5 being "completely satisfied," how would you rate the following and why?
  - a. Negotiation process
  - b. Financial responsibilities
  - c. Maintenance responsibilities
  - d. Time frame for completing the transfer
  - e. Outcome of the transfer



6. If you have been involved with the completion of a route transfer, what were the critical decision points in the process and how was agreement reached on those points?
7. What roles should the State Transportation Board and local elected officials have in the route transfer process?
8. If you have been or expect to be involved in a route transfer, what data, criteria, or information should be provided by ADOT and at what point in the process? By other agencies?
9. Who should be involved in negotiating a route transfer?
10. What should be the format for negotiation? Should a facilitator or mediator be involved?
11. Should a route transfer include a public participation component? If so, in what format?
12. How can the time frame for route transfer be minimized?
13. What changes would you recommend to State Statutes or ADOT policies and procedures related to route transfer?
14. Do you have any other comments that we have not covered?
15. Are there any other individuals you would recommend for participation in this survey?

### **3.2 Summary of Stakeholder Interview Responses**

The results of stakeholder interviews served as input to the development of the Route Transfer Handbook. Key findings of the survey were:

- More documentation on the process, including flow charts and time frames, would be useful and is needed.
- Identification of benefits, risks, and impediments for both transferring agencies and accepting agencies, which can be used in developing procedures.
- Satisfaction with the route transfer process was generally high once the transfer was complete.
- The negotiation process was rated the lowest by survey respondents due mainly to frustrations in reaching agreement among all the parties involved.
- Funding for capital improvements and maintenance was mentioned by respondents as the most critical, controversial, and time-consuming decision point.
- Survey information on data requirements indicated that most of the data sources are needed from ADOT early in the route transfer process. It should be noted that the responses might be skewed because respondents assumed transfers from ADOT to local agencies, rather than the reverse. The data provider in most cases should be the transferring agency. Major items that are needed from other agencies include utility information, police reports, transportation network information, development plans, other mode information, desire to use route for local events, and desired aesthetic / enhancement improvements. Underlying ownership of the right-of-way was very





important with ADOT right-of-way interviewees, particularly when, State, federal and tribal lands are involved.

- Most respondents focused on having management-level staff within the ADOT District Offices and City/County Manager or Public Works/Engineering Departments as the primary negotiators for route transfers.
- Most respondents recommended face-to-face meetings with the respective staff responsible for negotiating the transfer agreement. There was a mixed response with respect to the use of a facilitator.
- There was also a mixed response to inclusion of a public involvement component. Many of those supporting a public participation component referenced the fact that the State Transportation Board meetings, City Council meetings, and Board of Supervisors meetings are all open to the public and these venues could serve as the opportunity for public comment. Another option suggested was the use of an online survey or public opinion poll. It was also suggested that the format for public participation should be decided by the entity accepting the route to be transferred. One respondent suggested that possibly a public notice of intent could be issued at the start of the process to get an indication whether the transfer could be controversial.
- Although some survey respondents did not think there was a need to shorten the time frame for a route transfer, there were suggestions made to shorten the process, including developing a clearly defined process and flow chart.
- A key recommended change in procedures was to develop a ***letter of interest approach*** to document the intent of the transfer, identify process decision makers, and develop a time line for the transfer.
- Statute, policy, and procedures changes were suggested.



## 4 Route Transfer Considerations

Working Paper No. 3 – Route Transfer Evaluation Considerations included the following:

- Existing Route Transfer Process, Guidelines, and Procedures, including a summary of State Transportation Board Policies, State Highway Classification Criteria, and Arizona Revised Statutes.
- Best Practices Review from other states with documented route transfer procedures. The best practices review included information from California, Illinois, Oregon, Florida, Pennsylvania, Minnesota, and Washington.

Working Paper No. 3 is included Appendix 2. The following is key information from Working Paper No. 3.

### 4.1 Existing Route Transfer Statutes and Policies

A summary of existing relevant state statutes and State Transportation Board (Board) policies is presented in **Table 4**. It is anticipated that the Board policies will be amended to be compatible with the results of this study.

**Table 4 - Relevant Arizona Revised Statutes and State Transportation Board Policies**

Statute or Policy	Summary
<b>Arizona Revised Statute (A.R.S)</b>	
28-101,(Definitions)	Provides definitions.
28-304. Powers and duties of the board; transportation facilities	Describes powers and duties of the board, including abandonment of state highways.
28-401, Intergovernmental agreements (I.G.A.)	Authorizes the ADOT Director to enter into agreements with cities, tribes, and counties for improvements to state routes.
28-6993, State highway fund; authorized uses	Authorizes state highway funds to be expended on land damages associated with abandoning portions of a state highway.
28-7041,State highways and routes defined	Defines the powers and duties of the State Transportation Board regarding establishing a state highway system.
28-7207, State roadway abandoned	Abandonment of state highways outside of incorporated limits vests to counties.
28-7209, Vacated or abandoned highway; affected jurisdiction; procedure	In conjunction with state highway abandonment, the State Transportation Board will: <ul style="list-style-type: none"> <li>• Recognize financial and administrative impacts of abandonment on local jurisdictions</li> <li>• Provide four years advance notice to local jurisdiction, except by mutual agreement</li> <li>• Provide 120-day notice to local jurisdiction for the abandonment of new street improvements such as cul-de-sacs and reconnections of existing streets resulting from highway projects</li> <li>• Improve abandoned highway such that surface treatment is not required for at least five years, except by mutual agreement</li> </ul>
28-7210, Reservation of easements	Rights-of-way or easements continue as they existed before the disposal



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Statute or Policy	Summary
	or abandonment of the rights-of-way or easements.



**Table 4 - Relevant Arizona Revised Statutes and State Transportation Board Policies**

Statute or Policy	Summary
<b>A.R.S (continued)</b>	
28-7213, Resolution; effective date	Resolutions vesting a roadway to another jurisdiction must describe the roadway and its use, and take effect when it is recorded in the office of the County Recorder.
28-7214, Extinguishment of easements	Right-of-way easements may be distinguished through resolution.
28-7043, Designation of state route as state highway	<ul style="list-style-type: none"> <li>County Board of Supervisors may petition the transportation board to take over and designate a state route as a state highway.</li> <li>Until designated as a state highway, state routes are constructed and maintained as county highways.</li> <li>State routes will not be designated as a state highway until funding is programmed for improvement.</li> <li>ADOT maintains state routes that are designated and accepted by the State Transportation Board as state highways.</li> </ul>
28-7049. Classification of streets that connect highways and routes	If the streets of a city or town form necessary connection of sections of state highways or state routes, governing bodies may mutually agree that the streets are deemed state highways or county highways, respectively.
<b>Arizona State Transportation Board Policies</b>	
Policy No. 5 - State Highway System Priorities Policy	<p>Priority is placed on state highways that:</p> <ul style="list-style-type: none"> <li>Connect Arizona's regions and population centers by an efficient network of highways to carry travelers and commerce throughout the state;</li> <li>Connect Arizona, its regions, and population centers with other states and Mexico; and</li> <li>Connect major population centers and through routes within urban areas with high-volume routes that increase mobility of people and goods.</li> </ul> <p>State Highway System should include routes primarily designed to carry through traffic, including:</p> <ul style="list-style-type: none"> <li>Interstate Highways;</li> <li>Other arterial routes connecting Arizona's population centers and interconnecting with those of other states;</li> <li>High capacity connecting routes needed to form an efficient network.</li> </ul>
Policy No.16 - Transfer of State Routes Policy	<p>The State Highway System consists primarily of routes necessary to serve statewide and regional movement of people and goods. Routes primarily providing land access and local movement of people and goods should be the responsibility of local governments. The State Transportation Board will seek to transfer these routes to other jurisdictions.</p> <p>ADOT will maintain a list of state highways that do not serve as integral parts of the State Highway System and therefore are eligible candidates for transfer:</p> <ul style="list-style-type: none"> <li>ADOT will not abandon routes that do not serve a need as part of a State Highway System, but serve significant state or national facilities, unless an appropriate jurisdiction can be found to operate the route.</li> <li>Routes that are not necessary for a network of state routes and serve no significant statewide interest.</li> </ul>





**Table 4 - Relevant Arizona Revised Statutes and State Transportation Board Policies  
(continued)**

Statute or Policy	Summary
Policy No.16 - Transfer of State Routes Policy (continued)	<ul style="list-style-type: none"> <li>Other routes to local jurisdictions when bypasses or parallel routes are constructed.</li> </ul> <p>Priorities for route transfer are:</p> <ul style="list-style-type: none"> <li>a) Routes for which local governments have expressed interest in acquiring;</li> <li>b) Routes for which ADOT is constructing a bypass or alternate route;</li> <li>c) Existing business routes not necessary for system continuity;</li> <li>d) Other routes as ADOT construction and maintenance activities result in opportunities to transfer or as requested improvements provide opportunity to negotiate transfers.</li> </ul>

### 4.2 Best Practices Summary

A best practices review of route transfer processes in other states was conducted. The following are key items gleaned from the best practices review.

- The best practice review highlighted the convenience of having guidelines for route transfers in one easy-to-use document.
- Common features of the best practice states that could be incorporated into an Arizona route transfer process are:
  - Flow chart of the process for route transfers.
  - Step-by-step descriptions of each route transfer element, which include who is responsible for the individual step, and what documentation is involved.
  - Communicating the purpose of the transfer with the local government early in the process.
- The process for changing highway route numbers is a consideration and it can be a separate process.
- Decision-making criteria and considerations in the best practice states were:
 

<ul style="list-style-type: none"> <li>Goal of the transfer</li> <li>Trip character</li> <li>Highway function</li> <li>Land use</li> <li>Highway mobility standards</li> <li>Access management</li> <li>Future needs</li> <li>Local government desire</li> <li>Scenic byways</li> <li>Benefits and cost</li> <li>Funding the transfer</li> <li>No longer required as a part of the highway system</li> </ul>	<ul style="list-style-type: none"> <li>A municipality has expressed an interest in owning and has the ability to maintain</li> <li>Route has low Average Daily Traffic</li> <li>Route is maintenance functional class D or E or dirt and gravel roadways</li> <li>Route requires maintenance, materials and/or equipment that is more appropriate at the local level</li> </ul>
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- Route transfer will establish a sound foundation, goodwill, and a good track record for future turnback negotiations
  - Turnback will not isolate structures such as bridges, culverts and railroad crossings remaining under the jurisdiction of the state
5. Data to be analyzed in the route transfer were:
- Ownership of the right-of-way
  - Access control
  - Existing permits, encumbrances, and agreements
  - Highway condition and maintenance agreements
  - Highway improvements and design standards
  - Outdoor advertising
  - Rail crossings
  - Route designations and signs
  - Surplus property
  - Traffic Signals and illumination
  - Traffic engineering
  - documentation (signal warrant studies or other traffic control evaluation)
  - State Legislative District (SLD)
  - Bridge and roadway weight limit postings and restrictions and studies (if appropriate)
  - Active highway permits
  - Utility information
  - Railroad crossing information
  - Construction Plans
6. Negotiation elements that were mentioned in the best practice states are:
- Cost/benefit analysis for possible compensation
  - Road improvements required before the exchange and scope of work
  - Maintenance clauses
  - Transfer of assets
  - New construction
  - Exchange of services
  - Sharing of costs and funding
  - Working to qualify for federal funds
  - Trading road segments
  - Trades among more than two parties (e.g., state, city, county)
  - Construction of grade changes
  - Changes in location
  - Detours
  - Connecting roads
  - Work completion date
7. In addition to route transfers, some of the guidance documents had separate sections on:
- Abandonment of State Highway
  - Adoption of State Highway
  - Vacation of State Highway
8. The Pennsylvania Manual had a section on the route adoption process, which was limited to sections with lengths of one mile or less. Adoptions of larger segments are accomplished using specific legislation created for the purpose of transferring jurisdiction of the route to the department.



### 4.3 *Proposed Elements of ADOT Route Transfer Process*

The ADOT route transfer process was developed as a cooperative procedure to assess the function of a candidate roadway relative to route transfer evaluation criteria, and to formulate a rational and mutually agreeable transition strategy to transfer ownership responsibilities between government agencies. Route transfer processes were developed for:

- Transfer to the State Highway System
- Transfer from the State Highway System to local or tribal governments

Stakeholder input, best practices review, and direction from the PMT and TAC each served as input to proposed elements of the ADOT Route Transfer Process.

#### 4.3.1 Process Flow Chart

**Figure 2** depicts processes for making permanent transfers of responsibilities from the State Highway System to a local or tribal government.

**Figure 3** depicts the process for transfer of a roadway from local or tribal government to the State Highway System.

The flow charts reflect the following key steps, which are explained in detail in the following sections:

- Identify and Define a Route Transfer Candidate Segment
  - Route Transfer Candidate Segment – State Route to Local Route
  - Route Transfer Candidate Segment – Local Route to State Route
- Initial Meeting
- Memorandum of Intent
- Preliminary Data Collection
- Preliminary Route Transfer Feasibility Evaluation
- Detailed Data Collection
- Route Transfer Report
- Initial Negotiations
- Public Involvement
- Final Negotiations
- Development of Intergovernmental Agreement (IGA)

Each of the subsequent steps are outlined in detail in the Route Transfer Handbook.



### Decision Making Process for Cooperative Permanent Route Transfer from State Highway System to a Local or Tribal Government

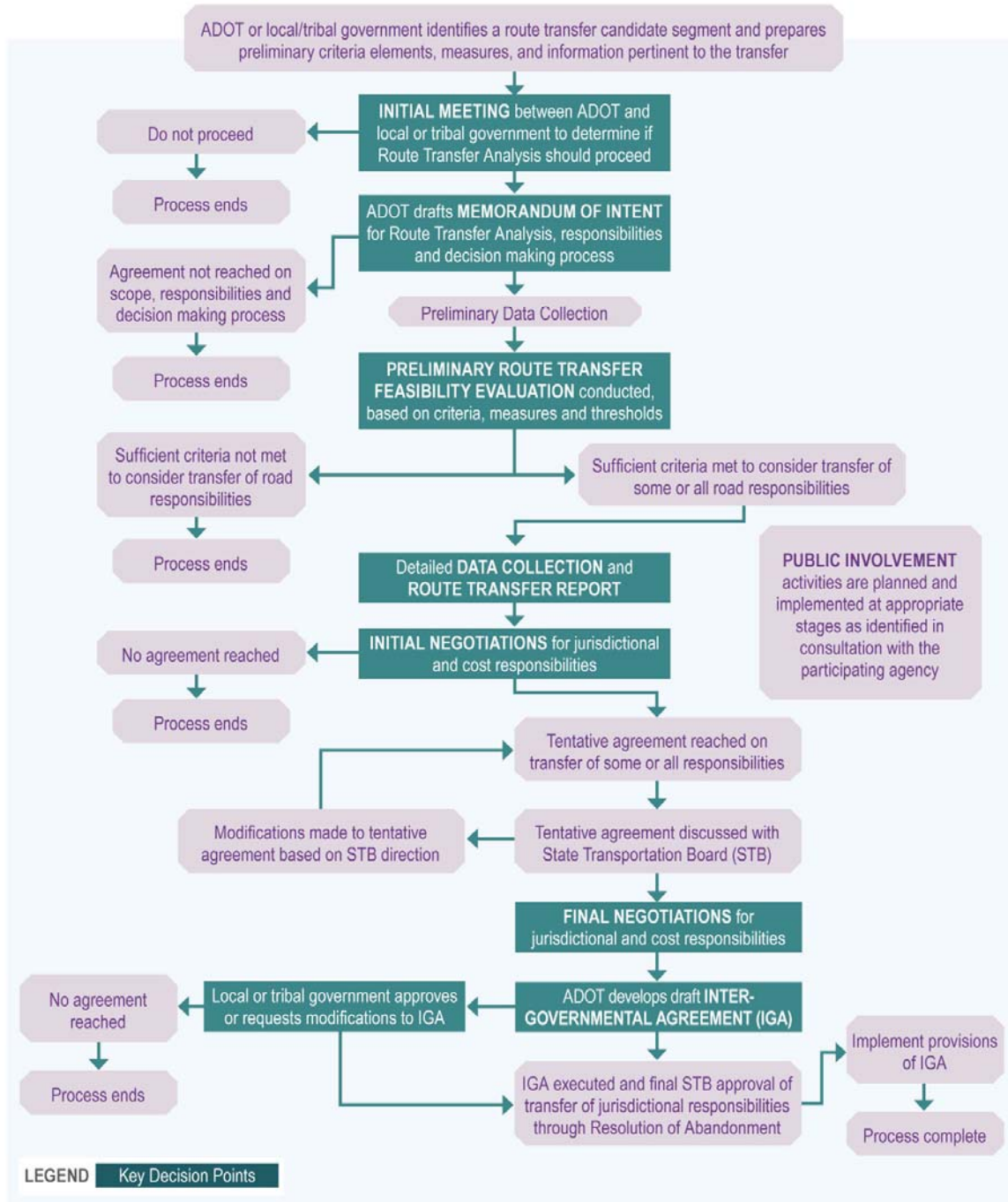


Figure 2 - Transfer from the State Highway System to a Local or Tribal Government





## Decision Making Process for Cooperative Permanent Route Transfer from a Local or Tribal Government to the State Highway System

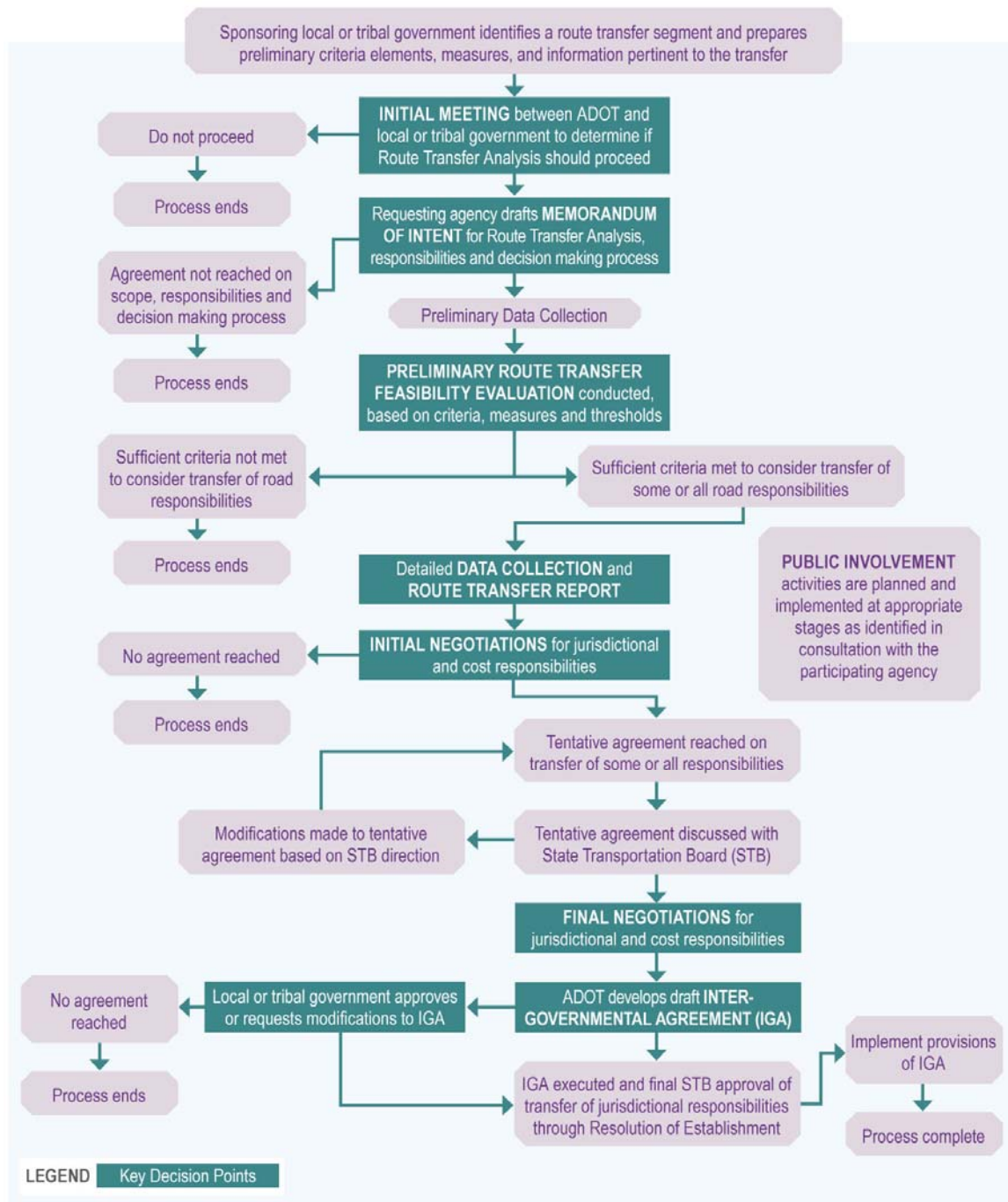


Figure 3 - Transfer from a Local or Tribal Government to State Highway System



### **4.4 Issues in the Negotiations**

Every jurisdictional transfer, whether to or from ADOT, involves a unique set of issues that must be considered during the negotiation process. Issues that may need to be considered include:

- Ownership of the Rights-of-Way
- Access Control
- Existing Permits, Encumbrances, and Agreements
- Roadway Condition and Maintenance
- Roadway Improvements and Design Standards
- Rail Crossings
- Route Signage
- Traffic Signals and Lighting
- Landscaping
- Transfer Time Frames
- Post Transfer Agency Responsibilities
- Financial Considerations

The route transfer process can be a complex and time consuming effort, requiring a strong commitment from the participating agencies to keep the process moving forward. Each transfer will have its own unique characteristics and circumstances that will require tailoring the process to the specific transfer candidate. The end result should be a transfer that meets the goals and objectives of all parties to the transfer agreement and aids decision making regarding the road at the appropriate level of government.



## **5 Public and Stakeholder Education**

### **5.1 *Route Transfer Handbook***

A *Route Transfer Handbook* was developed to document the procedures and process that ADOT and local or tribal governments should follow to initiate and implement a route transfer. The *Route Transfer Handbook* is included in Appendix 3.

### **5.2 *Route Transfer PowerPoint Presentation***

In addition, a PowerPoint presentation was developed to outline the ADOT route transfer process and procedures. The PowerPoint can be used by ADOT or local and tribal agency staff to educate stakeholders about the ADOT route transfer process. The route transfer PowerPoint presentation is included in Appendix 4.



## Appendices

### Appendix 1 – TAC and PMT Meeting Summaries

- Kick off Meeting: March 17, 2011
  - Agenda
  - Notes
- PMT Meeting No. 1: April 18, 2011
  - Agenda
  - Sign-in Sheet
  - Notes
- TAC Meeting No. 1: April 27, 2011
  - Agenda
  - Notes
  - PowerPoint Presentation
- PMT Meeting No. 2: September 7, 2011
  - Agenda
  - Notes
- TAC Meeting No. 2: September 15, 2011
  - Agenda
  - Sign-in Sheet
  - Notes
  - PowerPoint Presentation
- PMT Meeting No. 3: November 30, 2011
  - Agenda
  - Notes
- TAC Meeting No. 3: December 14, 2011
  - Agenda
  - Sign-in Sheet
  - Notes
  - PowerPoint Presentation

### Appendix 2 – Working Papers

1. Working Paper No. 1 – Work Plan
2. Working Paper No. 2 – Stakeholder Interview Summary Report
3. Working Paper No. 3 – Route Transfer Evaluation Criteria



**Appendix 3 – Route Transfer Handbook**

**Appendix 4 – Route Transfer PowerPoint Presentation**



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## Appendix 1

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ADOT

ROUTE TRANSFER PROCEDURES STUDY



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## Appendix 2

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ADOT

ROUTE TRANSFER PROCEDURES STUDY



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## Appendix 3

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## Appendix 4

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